

INDIANA STATE UNIVERSITY

RESEARCH ADMINISTRATION PROCESS ELEMENTS AND RESPONSIBILITIES

#	Flowchart Reference	Research Administration Process Element Description	Unit with Primary Responsibility	Unit(s) with Ancillary Responsibility
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A. Project Conceptualization

1.	1.A	Request for proposals (RFP) or request for applications (RFA) received and judged to be a source of support for an existing or a potential project at ISU	OSP PI	Dean DC
2.	1.A	Information, guidelines, and forms obtained from the sponsor	OSP	PI
3.	1.A	Information brought to the attention of potential PIs through print or electronic information distribution to solicit interest in preparing a project proposal OR Meeting organized with potential PIs to determine suitability for ISU and interest in participating in proposal development	OSP	
4.	1.A	If potential sponsor is a foundation, Development Office consulted to determine that approaching the sponsor will not create a conflict with other initiatives	OSP	
5.	1.A	Project officer at sponsor identified and contacted about potential for ISU to submit a proposal or application	OSP PI	

B. Sponsor Identification

6.	1.A	Potential or actual ISU project needing extramural support identified	OSP PI	
7.	1.A	Potential sources of support for project identified using computerized database or print materials	OSP PI	
8.	1.A	Suitability of potential sponsors evaluated and one or more selected for proposal submission	PI	OSP

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9.	1.A	Information, guidelines, and forms obtained from the sponsor	PI OSP	
10.	1.A	Project officer at sponsor identified and contacted about potential for ISU to submit a proposal or application	PI OSP	
11.	1.A	If potential sponsor is a foundation, Development Office consulted to determine that approaching the sponsor will not create a conflict with other initiatives	OSP	

C. Proposal Development

12.	1.A	Agency guidelines and budget requirements identified	OSP PI	
13.	1.B	Proposal outline prepared, reviewed, and revised	PI	OSP
14.	1.D	Budget requirements of project broadly defined	PI	OSP
15.	1.A	Proposal writer identified OR Proposal writing team identified and writing assignments specified	OSP PI	Dean DC
16.	1.B	Drafts of proposal narrative written or assembled	PI	
17.	1.C	Institutional boilerplate materials provided for inclusion in draft proposal narrative	OSP	
18.	1.C	Proposal draft edited and rewritten	OSP PI	
19.	1.N	Information on salaries and fringe benefits provided if needed for budget development	HR	
20.	1.D	Sponsor F&A recovery rate or amount determined	OSP	
21.	1.O	Potential costs of project to the university identified (e.g., matching, cost sharing)	PI	Dean DC

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22.	1.D	Drafts of preliminary proposal budget documents prepared	PI	OSP
23.	1.D	Proposed budget reviewed for consistency with sponsor's guidelines (e.g., federal regulations and cost principles).	OSP	
24.	1.D	Proposal budget and justification reviewed for mathematical accuracy and consistency with ISU Accounting standards.	OSP	
25.	1.B	Proposal elements compiled into draft proposal	PI	
26.	1.E	Draft proposal reviewed for compliance with sponsor guidelines	OSP	
27.	1.B	Proposal final draft prepared	PI	

D. Compliance Review

28.	1.F	Proposal reviewed to determine involvement of human subjects and the need for Institutional Review Board consideration	PI	OSP
29.	1.F	Proposal protocol submitted to IRB for review	PI	
30.	1.F	Proposal protocol reviewed and approved for use of human subjects	IRB	
31.	1.G	Proposal reviewed to determine involvement of animal subjects and the need for Institutional Animal Care and Use Committee review	PI	OSP
32.	1.G	Proposal protocol submitted to IACUC for review	PI	
33.	1.G	Proposal protocol reviewed and approved for use of animal subjects	IACUC	
34.	1.H	Proposal reviewed to determine use of recombinant DNA molecules	PI	OSP

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35.	1.H	Proposal protocol submitted for review	PI	
36.	1.H	Proposal protocol reviewed and approved for use of recombinant DNA molecules	Biosafety	
37.	1.I	Proposal reviewed to determine compliance with biosafety and laboratory safety requirements	PI	OSP
38.	1.I	Proposal protocol submitted for review	PI	
39.	1.I	Proposal protocol reviewed and approved for compliance with biosafety and laboratory safety requirements	Env Safety	
40.	1.J	Proposal reviewed to determine use of radioactive isotopes	PI	OSP
41.	1.J	Proposal protocol submitted for review	PI	
42.	1.J	Proposal protocol reviewed and approved for use of radioactive isotopes	Rad Safety	
43.	1.L	Determination of institutional compliance with drug-free workplace requirements	HR	
44.	1.L	Determination of institutional compliance with requirements concerning PI or institutional debarment and suspension	Purchasing PI	
45.	1.L	Determination of institutional compliance with lobbying requirements	LA Gov Relations PI	
46.	1.L	Determination of institutional compliance with misconduct in research requirements	PI Dean DC	OSP
47.	1.L	Determination of institutional compliance with employment nondiscrimination requirements	HR	
48.	1.L	Determination of institutional compliance with Hatch Act requirements concerning political activities	LA	

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49.	1.L	Determination of institutional compliance with Davis-Bacon Act concerning labor standards	HR	
50.	1.L	Determination of institutional compliance with Environmental Protection Act requirements	Env Safety	
51.	1.K	Disclosure of financial conflict of interest forms submitted	PI	OSP
52.	1.P	ISU internal routing form prepared and attached to proposal final draft	PI	OSP
53.	1.M	Proposal reviewed to determine commitments of effort, facilities, and resources, and approval received from appropriate authority for each commitment identified	DC Dean VP	OSP

E. Proposal Routing and Submission

54.	2.A	Routed and approved proposal submitted to OSP	PI	
55.	2.A	Proposal logged into OSP database	OSP	
56.	2.B	Proposal audited for compliance and approval by IRB, IACUC, biohazard, laboratory safety, radioactive materials, as appropriate	OSP	
57.	2.B1	Compliance questions resolved and missing approvals obtained, if necessary	PI OSP	
58.	2.C	Proposal audited for approval of commitments concerning cost sharing, matching, facilities, departmental and university resources, post-grant support	OSP	
59.	2.C1	Commitment questions resolved and missing approvals obtained, if necessary	PI OSP	
60.	2.D	Proposal audited for use of federal funds as cost sharing	OSP	

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61.	2.C1	Cost sharing questions resolved, if necessary	PI OSP	
62.	2.D	Proposal audited for intellectual property, invention, and technology transfer possibilities	OSP	
63.	2.D1	Proposal referred to intellectual property officer, if appropriate	OSP	
64.	2.E	Proposal transmitted to CRO for final approval	OSP	
65.	2.F	Proposal duplicated and copies provided to appropriate offices	OSP	
66.	2.G	Proposal submitted to sponsor OR Proposal submitted electronically	OSP	

F. Denial of Award

67.	2.I	Notice of decision not to fund the project letter received by or forwarded to OSP	PI OSP OGC	
68.	2.I1	Database updated	OSP	
69.	2.I1	OGC notified of denial	OSP	
70.	2.I2	Proposal archived	OSP	

G. Receipt of Award

71.	2.H	Award letter received by or forwarded to OSP	PI OSP OGC	
72.	2.H2	Terms and conditions of award reviewed	PI OSP OGC	LA Risk
73.	2.H2	Terms and conditions of award negotiated and rewritten as necessary	OSP	OGC

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74.	2.H1	Award recorded in database and appropriate offices notified	OSP	OGC
75.	2.H2	PI notified of post-award responsibilities	OGC	

H. ISU Issuing Subcontracts for Project Activities

76.	3.A	Draft subcontractor agreement prepared	OSP	
77.	3.A	Subcontract agreement reviewed and prepared for routing	PI OSP	OGC
78.	3.A	Subcontract agreement approved as appropriate	LA Risk CRO	
79.	3.A	Subcontract agreement sent to subcontractor or subcontracting agency	OSP	
80.	3.A	OG&C notified when subcontract agreement signed and returned	OSP PI	

I. ISU Performing as Subcontractor

81.	3.B	Terms and conditions of subcontracting agreement reviewed	OSP PI OGC	LA Risk
82.	3.B	Subcontracting agreement routed for necessary approvals by department, dean or director, vice president, and CRO	OSP PI	DC Dean VP CRO
83.	3.B	Subcontracting agreement sent to prime contractor	OSP	
84.	3.B	OG&C notified when subcontracting agreement signed and returned	OSP PI	
85.	3.B	Submit audit reports, financial statements, etc.	OGC	

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J. Post-Award Project Financial Management

86.	4.A	Account numbers assigned to project budget and entered into the accounting system	OGC	
87.	4.A	PI provided with account numbers and authorized signatory	OGC	
88.	4.A	PI provided with information on reporting requirements, cost sharing, effort reporting, and other financial management requirements of the sponsor	OGC	
89.	4.C	Receipt of payments from sponsor monitored and sponsor contacted to resolve problems	OGC	
90.	4.B	Expenditures authorized, proper account number provided, invoices signed and forwarded to accounting	PI	
91.	4.B	Responsible for compliance with allowable, necessary, and reasonable expenditures consistent with terms and conditions of award, sponsor requirements, and ISU accounting procedures	PI	
92.	4.D	Monitors compliance with allowable, necessary, and reasonable expenditures consistent with terms and conditions of award, sponsor requirements, and ISU accounting procedures	OGC	
93.	4.B	Approved invoices forwarded to accounts payable for processing	PI	
94.	4.C	Copies maintained of invoices to compare with accounting statements	OGC	
95.	4.B1	Vendor selection approved for purchases exceeding \$10,000 and sole source selection for those over \$5,000	Purchasing	

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96.	4.B1	Compliance with procurement requirements monitored and documentation retained in file	Purchasing	
97.	4.D	Compliance with matching and cost sharing commitments monitored and documentation retained for audit purposes.	OGC	
98.	4.E	Effort of all personnel related to the project tracked and recorded to ensure cost sharing commitments are met and reports retained for audit documentation	PI	OGC
99.	4.D	Documentation obtained relating to in-kind contributions detailed in project budget and reports retained for audit documentation	PI	OGC
100.	4.E	Position descriptions, position analysis questionnaires, and position requests prepared for anyone to be employed to work on the project and paid from the project budget	PI	HR
101.	4.E	Work recap sheets reviewed, approved, and forwarded to payroll for processing	PI	
102.	4.E	All faculty and staff released time related to the project monitored, appropriate reports completed, and reports retained for audit documentation	PI Dean DC	OGC
103.	4.D	Budget revisions reviewed and approved, and sponsor approval obtained as necessary	PI OSP	
104.	4.D	Project budget and expenditures reconciled to university financial system controls	PI	
105.	4.D	Subcontractor and subrecipient expenditures monitored for compliance with sponsor guidelines and regulations	PI OGC	

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K. Supplement or Revision to Project Award (Received from Sponsor)

106.	2.J	Letter from sponsor or prime contractor confirming supplemental award, project extension, or significant project revision received by or forwarded to OSP	PI OSP OGC	
107.	2.J	Terms and conditions of supplemental award, extension, or revision of award reviewed, negotiated, and rewritten as necessary	PI OSP OGC	LA Risk
108.	2.J	Terms and conditions of supplemental award, extension, or revision of award negotiated	OSP (IP, etc) OGC (\$, term, PI, etc)	
109.	2.J	Revision or supplemental agreement documents prepared for routing	PI OSP	
110.	2.J	Revision or supplemental documents routed for ISU approval, signature by CRO, and transmittal to sponsor	PI OSP	
111.	2.J	Supplemental award or revision to the award recorded in database and OG&C notified	OSP	

L. Changes to Terms and Conditions of the Award (Proposed by ISU)

112.	5.I	Change in PI	PI, CRO	OGC, OSP
113.	5.I	Project Extension	PI, OGC	OSP

M. Project Reporting and Project Auditing

114.	5.A	PI notified of sponsor's interim and final progress report due dates	OGC	OSP (During pre-award meetings)
115.	5.B	Performance of subcontractors, consultants, and subrecipients monitored	PI, AUDIT	DC Dean OGC
116.	5.C	Monthly ISU accounting system reviewed, checked against records, and discrepancies communicated to accounting office	PI	

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117.	5.C	Interim project performance reports prepared	PI	OGC (Budget)
118.	5.C	Interim project performance reports submitted. If Institutional approval required, must be routed through OSP.	PI	OSP (if AR signature required) OGC (Budget)
119.	5.C	Final project performance report prepared for routing to obtain institutional approval prior to submission	PI	
120.	5.C	Results presented in the final project performance report verified and compared with the proposed project goals to provide to the administration assurance of goal achievement or justification for failure to achieve goals (to be completed during the routing process)	PI DC Dean	OGC (Budget)
121.	5.C	Final project performance report submitted	PI	OSP (if AR signature required)
122.	5.D	Required acknowledgements and disclaimers used in all publications resulting from project work	PI	
123.	5.D	Interim project financial reports prepared	OGC	PI
124.	5.D	Interim project financial reports submitted	OGC	
125.	5.D	Final project financial report prepared	OGC	PI
126.	5.D	Final project financial report submitted	OGC	
127.	5.E	Any intellectual property developments, including inventions and patentable discoveries, declared and referred to ISU intellectual property officer, as appropriate	PI	DC Dean OSP
128.	5.E	Requests for individual or agency-wide project reports met, as appropriate, including invention disclosure, equipment purchases, A-133 audit	OGC	

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129.	5.E	Sponsor informed, as appropriate, about non-compliance with regulations concerning scientific misconduct, financial conflict of interest, IRB assurance, IACUC assurance, biosafety, radioactive isotopes, nondiscrimination, drug-free workplace, debarment and suspension, lobbying, political activities, labor standards, employment discrimination, etc.	IRB IACUC Env Safety Rad Safety Biosafety HR Purchasing Gov Relations LA	OSP
130.	5.E	Requests and receives from subcontractors, as appropriate, reports on compliance with regulations concerning scientific misconduct, financial conflict of interest, IRB assurance, IACUC assurance, biosafety, radioactive isotopes, nondiscrimination, drug-free workplace, debarment and suspension, lobbying, political activities, labor standards, employment discrimination, etc.	PI OSP OGC	
131.	5.G	Schedules of grant expenditures and fund balances prepared as needed for the development of audited financial statements	OGC	PI
132.	5.G	A random sample of sponsored projects selected by internal audit for review of project performance reports and project financial reports	Audit	
133.	5.F	External auditors provided with documentation, as requested and appropriate, concerning cost sharing, allocability and appropriateness of expenditures, procurements, etc.	OGC	PI
134.	5.G	External auditors provided with list of grants by program and Catalog of Federal Domestic Assistance (CFDA) number as required by A-133	OGC	
135.	5.G	All external audits of sponsored projects coordinated, responses to findings in the auditor's report prepared, and resolutions negotiated	Audit PI	OGC OSP

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N. Project Closeout

136.	5.H	Closeout of sponsored project conducted and reported as appropriate	OGC	PI
137.	5.H	Completed sponsored project logged in OSP database	OSP	
138.	5.H	Completed sponsored project records and reports archived (short-term and long-term)	OSP OGC	UA

O. Other Responsibilities

139.	6.A	Database of specific research interests of ISU faculty and administrative staff members maintained	OSP	PI
140.	6.A	Collection of previously funded project proposals maintained for review by PIs	OSP	
141.	6.A	Library of funding source materials and proposal writing guides maintained for review by PIs	OSP	
142.	6.A	Monthly reports of grant and contract activity prepared and distributed to Board of Trustees, university administration, and interested stakeholders	OSP	
143.	6.A	Monthly financial summary of grant and contract activity prepared and distributed to Board of Trustees and Indiana Commission on Higher Education	OGC	
144.	6.A	F&A rate proposal prepared, submitted with voluminous supporting materials to its cognizant federal agency (DHHS) for audit review, approved rate negotiated, and CRO approval obtained for implementation at ISU	OGC	CRO
145.	6.A	ISU administration updated on changes in federal rules and regulations concerning grants and contracts	OSP OGC	

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146.	6.A	Policies and procedures related to research administration proposed for university administration review, approval, and implementation	CRO	